

**STATE OF ALABAMA  
DEPARTMENT OF INSURANCE  
HMO's**

**SPECIAL INSTRUCTIONS FOR FILING PREMIUM TAX AND FINANCIAL STATEMENTS  
DOMESTIC HEALTH MAINTENANCE ORGANIZATION**

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**IMPORTANT INFORMATION**

It is necessary to include your NAIC number in the spaces provided. Do not use the federal identification number in place of your NAIC number.

**FILING OF PREMIUM TAXES AND FEES**

**At this time, the Alabama Department of Insurance does not have an EFT account.** The Department has established a lock box operation for receipt of ALL Premium Taxes and Fees. Premium Taxes and Fees, ALL tax returns, and the Annual Statement should be sent to one of two lockboxes. It is the responsibility of the Company to see that Filings are timely and mailed to the correct Lock box. Mail the following items to the address below unless otherwise stated:

**THE ITEMS BELOW ARE DUE BY MARCH 1<sup>ST</sup> OF EACH YEAR**

1. Annual Premium Tax Return, applicable taxes and fees
2. Two (2) forms of documentation supporting deductions taken on the above Tax Return
3. Tax-exempt premiums (*Medicare & Medicaid supplemental policies and Employer sponsored plans for government employees*) require supporting documentation, i. e. a policy listing.
4. Official List
5. Application for License Renewal
6. Annual Financial Statement
7. Actuarial Opinion
8. \$250 Annual Audit and Examination Fee and Transmittal Form—this item only, see reverse side for address

**POSTAL SERVICE**  
Alabama Department of Insurance  
c/o Compass Bank  
P. O. Box 830691  
Birmingham, AL 35283-0691

**COURIER OR EXPRESS SERVICE**  
Alabama Department of Insurance  
c/o Compass Bank  
701 South 32<sup>nd</sup> Street  
Birmingham, AL 35233

**FILING REQUIREMENTS – Fees (see premium tax returns)**

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|----------------------------------|----------------|----------|
| 1. Annual Statement Filing Fee:  |                | \$25.00  |
| HMO Annual Statement Filing Fee: |                | 20.00    |
| 2. License Renewal Fees:         | HMO's          | \$205.00 |
|                                  | Life Companies | 505.00   |

## **FILING REQUIREMENTS – Audit and Examination Fees and due dates**

The **Annual Audit and Examination Fee for Health Maintenance Organizations is \$250.00**. A check should be attached to the Transmittal Form and mailed to:

**POSTAL SERVICE**  
Alabama Department of Insurance  
c/o Compass Bank  
P. O. Box 830707  
Birmingham, AL 35283-0707

**COURIER OR EXPRESS SERVICE**  
Alabama Department of Insurance  
c/o Compass Bank  
701 South 32<sup>nd</sup> Street  
Birmingham, AL 35233

## **SUPPLEMENTAL FILINGS—DUE DATES**

**All Supplemental filings required by the NAIC Annual Statement Instructions must be filed by the appropriate due dates. Mail the documents below directly to the Alabama Department of Insurance unless otherwise stated:**

Actuarial Opinion – due along with annual financial statement

Management Discussion and Analysis – **due April 1 of each year**

Audited Financial Statement – **by an independent CPA – due no later than June 1 of each year**

Quarterly Financial Statements - **due May 15, August 15, and September 15 of each year**

**POSTAL SERVICE**  
Alabama Department of Insurance  
P. O. Box 303351  
Montgomery, AL 36130-3351

**COURIER OR EXPRESS SERVICE**  
Alabama Department of Insurance  
201 Monroe Street, Suite 1700  
Montgomery, AL 36104

**ALL FILINGS WITH THE ALABAMA DEPARTMENT OF INSURANCE MUST BE MAILED BY THE U. S. POSTAL SERVICE OR COURIER. HAND DELIVERED DOCUMENTS WILL NOT BE ACCEPTED.**

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## **CONTACT PERSONS**

All questions relating to premium tax should be addressed to the Department of Insurance, Examiners Division: Ann Strickland (334-241-4154) or Belinda Williams (334-241-4162).